

# IMPROVEMENT OF GARBAGE MANAGEMENT SERVICES

Participatory Planning, Gender Responsive Budgeting and Citizens' Engagement

A MAGIC ROADMAP (Working document)



**MAGIC**  
MUNICIPAL ACCOUNTABILITY  
GOVERNANCE AND  
INCLUSIVE COMMUNITIES





## Foreword

The Roadmap for “Participatory Planning and Implementation process for Garbage Management Services” has been designed within the context of the Municipal Accountability, Governance and Inclusive Communities (MAGIC) Project in Chin State and Tanintharyi Region; a project funded by the European Union and implemented by VNG International in collaboration with Loka Ahlinn Social Development Network.

The MAGIC road map combines both public administration and social accountability expertise areas that complement and reinforce each other to improve planning and implementation of garbage management services by the DAO/DACs. It is a combined process that will be piloted and tested in the project locations in Chin State and Tanintharyi Region. The road map has been designed with support of the Local Governance, Social Accountability and Gender Experts who are part of the extended MAGIC project team.

As part of the MAGIC social accountability activities, the DAO /DACs and the citizens have selected waste management services to pilot this process in year 2 of the MAGIC project. Other services can be selected later on in the project.

The improvement plans of the garbage management services put the TDAO/DACs in the drivers’ seat; all activities in this roadmap should be implemented through, by or with the DAO/ DACs. Business communities, citizens groups, associations and civil society organizations play an important role to ensure that the “voice of the people” is being heard and followed up.



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# PARTICIPATORY PLANNING AND IMPLEMENTATION PROCESS FOR GARBAGE MANAGEMENT SERVICES

## MAGIC ROADMAP

The overall objective of the MAGIC project is to improve functioning of the State and Regional DAOs and the Township DAO/DAC in 5 townships in Tanintharyi Region and Chin State. MAGIC support to the S/R DAOs and TDAO/DACs covers two major components: (1) improving TDAO/DACs internal systems and procedures, in particular participatory planning and budgeting and revenue generation and (2) strengthening their ability to engage with citizens to deliver quality services. A MAGIC road map has been designed in which both public administration and social accountability expertise areas complement and reinforce each other to improve planning and implementation of garbage management services by the DAO/DACs. The DAO /DACs and the citizens have selected waste management services to pilot this process in year 2 of the MAGIC project. Other services can be selected later on in the project.

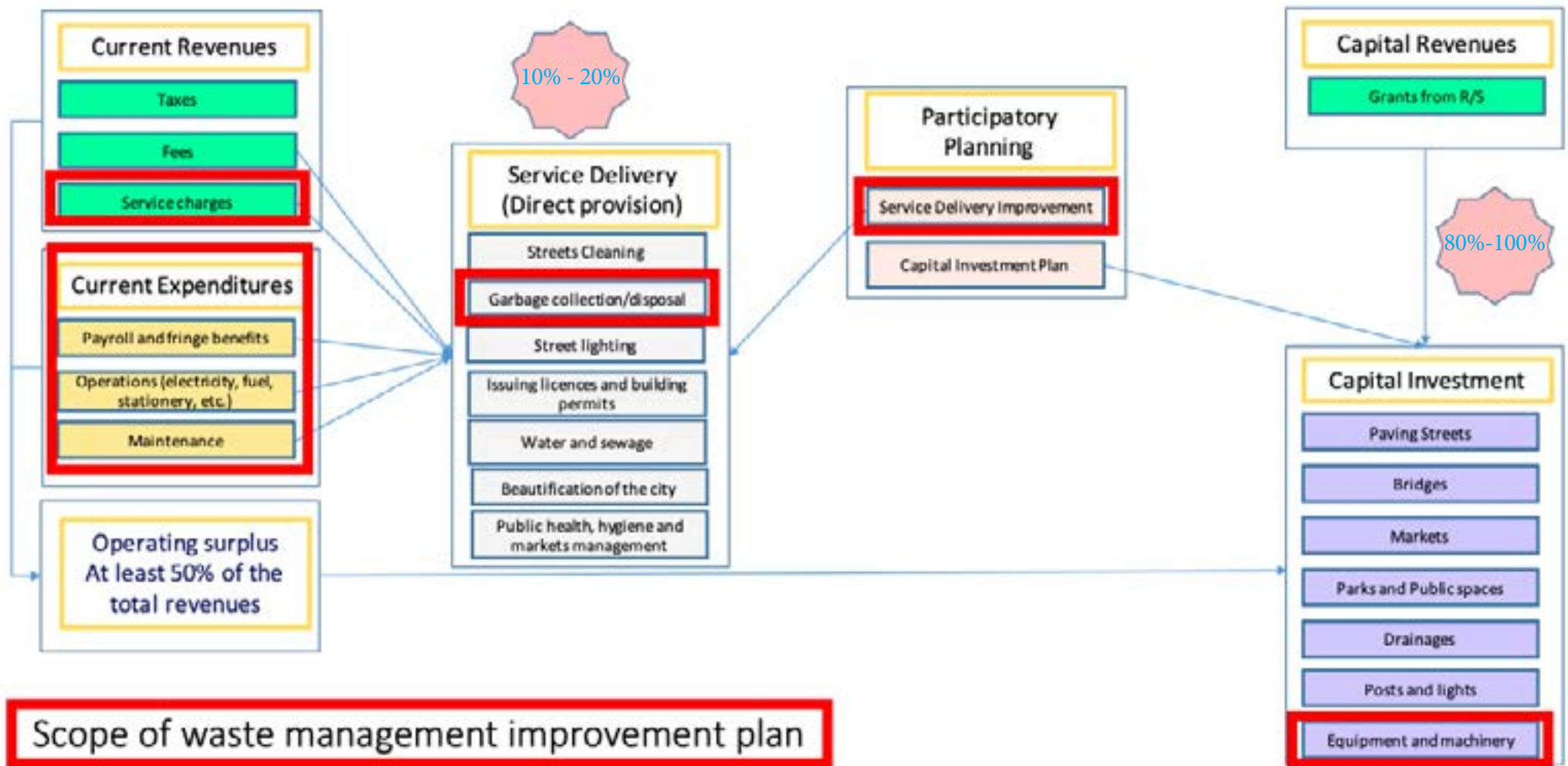
The road map puts the TDAO/DACs in the drivers' seat; all activities in this roadmap should be implemented through, by or with the DAO/ DACs. Business communities, citizens groups, associations and civil society organisations play an important role to ensure that the "voice of the people" is being heard and followed up.

TDAO/DAC use Union manuals and procedures for the budget execution, procurement and accounting. However, these manuals do not yet foresee disclosure of the budget to the public. Since the resources are public (taxpayers') money, ideally the TDAO/DAC should disclose the information concerning the use of the funds (transparency and public access). MAGIC support process intends to increase transparency of this process, in particular about user fees and tax payers money.

The DAO/DAC and the citizens agree on a service improvement plan (social contract) through which the access, quality and financing of the service have been agreed with citizens. TDAO/DAC is accountable for the results of the service improvement plan, specifically for proper use of the service fees paid. TDOA/ DAC facilitates community monitoring for regular feedback from citizens on service improvement and implementation of the plan.

It is essential to acknowledge that the improvement of the garbage management service comprises only a small part of the budget of the TDAOs; for example, in Tanintharyi region a portion of the 20% allocated for recurrent expenditure. Since at least 50% of the local revenues must be allocated for capital investment projects, the remaining 50% covers the provision of all public services by the TDAOs. Although, sometimes the TDAO may also allocate capital for the purchase of dumper trucks and other equipment for the garbage management system from the capital investment budget.

Chart 1: Components of municipal planning, budgeting and revenue mobilisation



A local governance structure typically comprises of three types of accountability, which work together to ensure that needs and priorities of the people are met, and that public resources are properly managed and accounted for:

- **Political accountability** - elected officials are responsible for oversight and key decisions; they are accountable to citizens for local government decisions, approve plans and budgets, and provide oversight to ensure that the government bureaucracy implements according to decisions and plans
- **Horizontal administrative accountability** – the government bureaucracy is responsible for preparation and implementation of plans and budget; they are accountable to elected officials and provide information to ensure that key decisions are well informed. (Accountability within the layers of the bureaucracy, for instance TDAO reporting to R/S DAO or TDAO auditing, is known as vertical administrative accountability.)
- **Social accountability** - citizens are not passive recipients of government goods and services but have the responsibility to provide inputs and feedback to ensure that the services are delivered in an inclusive, equitable, transparent and accountable manner.

**Chart 2: Municipal governance model used in MAGIC project**

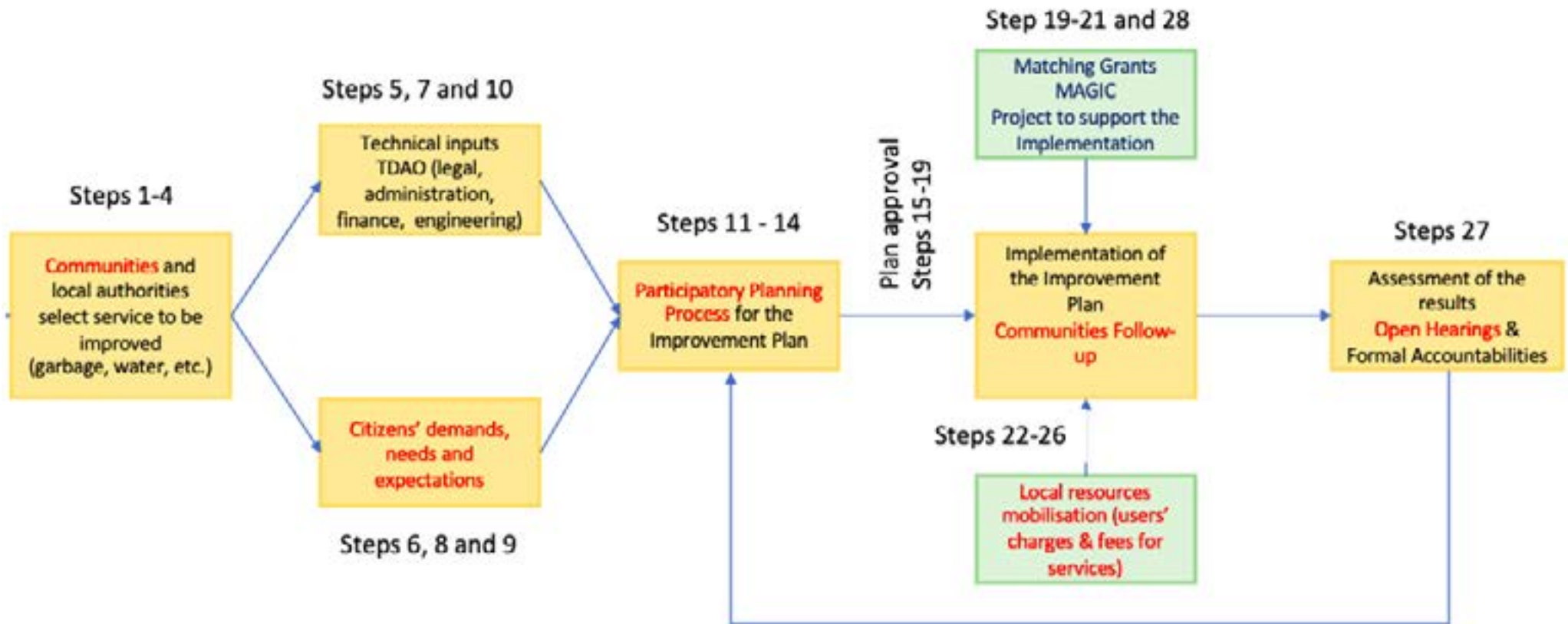


As can be noted in the diagram, the three types of accountability are interlinked and interdependent to ensure that all three governance actors are accountable towards each other. Elected officials provide political leadership, while the administration implements and the citizens monitor. In this tripartite governance relationship they **mutually work together** to ensure accountability and transparency. This responsibility does not solely rest with one of the three, but rather their relationship reinforces and strengthens accountability mechanisms inside and outside government institutions.

To achieve a beneficial and successful relationship there are necessary pre-conditions that include:

- Political will to engage with citizens in a transparent manner.
- Willingness to share information with citizens, such as plans, budgets and expenditures
- Willingness of citizens to participate. Citizens participate when they understand how they can participate and experience that the local government is responsive to their priorities.

Chart 3: Flow chart of the Participatory service improvement planning and implementation process





## ROADMAP FOR PARTICIPATORY PLANNING AND IMPLEMENTATION PROCESS (MAGIC WORK PACKAGES 1 AND 2<sup>1</sup>)

The table shows a detailed overview of the steps to improve waste management services. It combines both public administration (Internal DAO/DAC) and social accountability (Public DAO/DAC) expertise areas and it explains how they complement and reinforce each other.

WP1 - Internal DAO/DAC (In collaboration with DRI / LG expert)	Where DAO / DAC internal and public functions are combined	WP2 - Public DAO/DAC (In collaboration with LASDN / SA team guided by SA expert)
<p><b>iOc1: Strengthening capacities of township DAO/DAC in planning, budgeting and revenue generation</b></p> <p><i>Develop systems and procedures for service improvement and its financing (i.e. service charges and VNG grant)</i></p>		<p><b>IOC2: Improved ability of township DAO/DAC to deliver quality and equitable services for priority areas</b></p> <p><i>Lead an SA process (together with CSOs) for the public to: assess a service, prioritise/plan/finance improvements, monitor implementation</i></p>
<b>Which service to improve ?</b>		
		1. Elected DAC members work with CSOs to conduct independent citizen satisfaction survey for DAO services.
2. Review citizen satisfaction survey results in DAC meeting (consider inviting CSOs); discuss DAO self-assessment of service performance; select priority service balancing citizen views with DAO self-assessment.	3. Share service improvement choice, and existing information about service user rights, rules and regulations with the public; use pamphlets, social media, press release (encourage the media to report in a balanced and constructive way on service issues); work with CSOs to help raise public awareness about their rights and duties, and on how to constructively engage with the TDAO/DAC for service improvement.	4. Share priority service selected for this year to approve with ward administrators (WA); explain why this service was selected by the DAC, and what will happen in terms of engaging citizen (including women and youth) in service improvement planning.

<sup>1</sup> The work packages 1 and 2 are explained in detail in the MAGIC Inception Report, page 11 – 22.

<p style="text-align: center;"><b>WP1 - Internal DAO/DAC</b> (In collaboration with DRI / LG expert)</p>	<p style="text-align: center;">Where DAO / DAC internal and public functions are combined</p>	<p style="text-align: center;"><b>WP2 - Public DAO/DAC</b> (In collaboration with LASDN / SA team guided by SA expert)</p>
<p><b>What information and consultation is needed?</b></p>		
<p>5. Work to understand revenue, current expenses, operating surplus, and actual costs of the selected service.</p> <ul style="list-style-type: none"> <li>• Estimate current revenues for the next three years (taxes, fees, and service charges).</li> <li>• Revise procedures and manuals to find ways to improve the collection without changing the legal framework and regulations.</li> <li>• Project current expenses for the next three years (payroll, operations (support and line)) and maintenance).</li> <li>• Calculate the operating surplus (1-2).</li> <li>• Calculate the actual costs of the selected service (direct fixed and variable + indirect fixed costs).</li> </ul>		<p>6. Elected DAC members work with CSO's to facilitate independent service assessment by citizens (satisfaction, expectations, willingness to pay for service or to contribute otherwise) using focus group discussions and/or surveys; aim is to map diverse views (inclusive!) and to identify opportunities for joint action to improve services.</p>
<p>7. Identify coverage, numbers and categories of users/clients</p> <ul style="list-style-type: none"> <li>• Identify the zones and wards that are already served; map service coverage and zoning bylaw.</li> <li>• Estimate the number of households, businesses and public institutions actually served<sup>2</sup> ; develop a client/user database.</li> <li>• Define user categories (in case of distinct treatment), assess the service revenues of the last three years, including the average payment per category of users: households, business and public entities.</li> </ul>	<p>8. TDAO/DAC conduct ward level meetings with citizens to discuss and verify survey findings, and to gain cooperation for service coverage mapping and client/user database, and inputs for user categories.</p>	<p>9. Elected DAC members work with CSOs to compile all ward level service assessments as the basis for responsive municipal service improvement planning – ensuring inclusion and respecting diverse interests.</p>

<sup>2</sup> In Chin State there are many households and businesses that are paying for services but do not receive them.

WP1 - Internal DAO/DAC (In collaboration with DRI / LG expert)	Where DAO / DAC internal and public functions are combined	WP2 - Public DAO/DAC (In collaboration with LASDN / SA team guided by SA expert)
10. Develop alternative scenarios to expand the coverage and to improve the quality of the garbage management service (mid-term projections), taking citizen service assessment into account.	11. Organise a consultation process (one or more interface meetings) with local stakeholders to discuss and analyse the pro's and cons of the proposed scenarios needed to improve the service, including the willingness to pay of citizens in each of the scenarios.	(11. A) DAC members mobilise citizen interest groups from each ward, business community and relevant CSOs to actively participate in the consultation process for service improvement)
<ul style="list-style-type: none"> <li>• Calculate the costs of each scenario.</li> <li>• Calculate the estimated charges by scenario discriminating the categories (households, business and public entities).</li> <li>• Prepare a public presentation (and information leaflet) of alternative scenarios, with costs and service charges for each scenario – showing how it responds to the needs of different interest groups.</li> </ul>		12. Close the public consultation process with key decisions on service improvements, agreements on citizen rights and responsibilities (e.g. pay service fee, separate garbage, respect collection schedules), and next steps. This is concluded in a joint action plan: commitments of TDAO/DAC, and commitments of citizen/user interest groups).
<b>What is a Service Improvement Plan?</b>		
13. Based on the results of the consultation process (the joint action plan), develop the Service Improvement Plan <sup>3</sup> . The Service Improvement Plan states clear coverage and quality objectives, budget (recurrent and investment) and timeframe. Furthermore, it comprises local revenues (new fees and charges) for the service and the expected contribution of MAGIC through a matching grant.		14. DAC forms a sub-committee to support the TDAO with the development of the Service Improvement Plan. Invite stakeholders who play an important role in future service delivery (e.g. CSO cleaning campaigns, ward waste management committees, private contractors, etc). (See Matching Grants manual).

<sup>3</sup> The Improvement Plan comprises only actions aiming at improving the selected service management system. This Improvement Plan is part of the Annual Operational Plan and budget of the TDAO. If the Improvement Plan is going to be implemented in two or more years, the actions which take place in each year must be included in the corresponding AOP and budget because TDAOs do not undertake multiannual planning and budgeting yet.

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<ul style="list-style-type: none"> <li>If necessary, recalculate the charges and enhance the standards of the service (looking for the best price-quality relationship); consider reduced social rate for minimum consumption of low-income families.</li> <li>At the moment of drafting the Annual Operational Plan and budget, the sources of funding must be clearly stated.</li> </ul>		
15. Present the technical justification of the service charges-structure (residential, commercial and public entities) to the Ministry of Finance and Regional/State DAO and seek approval.		16. Organise political and public lobby at Regional/ State level so that the Service Improvement Plan will be approved (within the AOP and budget of the municipality)
17. Submit the Annual Operational Plan and budget (including the Service Improvement Plan) for the approval of the Regional/State Government.		18. Continue to build public support for the Service Improvement Plan through open hearings, meetings with key stakeholders, communication in mass media and social media. Work with CSOs and other organisations to disseminate and explain the Service Improvement Plan so that all can collaborate with its implementation.
<b>What is the MAGIC Matching Grant? (Refer to the MAGIC Matching Grants Manual)</b>		
19. Write a proposal to apply for the Matching grant, following the procedures and conditions stipulated in the MAGIC Matching Grants manual.		20. Develop the Grant proposal with the stakeholders, following the procedures and conditions stipulated in the MAGIC Matching Grants manual.
<i>Applications for Matching grants are being processed within the MAGIC structure (and, if necessary, request adjustments to comply with the legal, administrative and financial conditions.)</i>		

WP1 - Internal DAO/DAC (In collaboration with DRI / LG expert)	Where DAO / DAC internal and public functions are combined	WP2 - Public DAO/DAC (In collaboration with LASDN / SA team guided by SA expert)
21. When the grant is approved and the contract is signed, TDAO opens a bank account, incorporates the fund into the budget, and implements the Service Improvement Plan.		22. Inform the public about the amount and conditions of the grant, and invite interest groups to monitor the implementation of the Service Improvement Plan. Develop mechanisms for feedback from users and interest groups (see 23 and 24).
	<b>TDAO / DAC submit the AOP and budget to the S/R Government for technical revision and approval by parliament before February 2020!</b>	
<b>How to implement Service Improvement Plan ?</b>		
23. TDAO (and/or delegated service providers) implements the Service Improvement Plan, with DAC providing oversight to the MAGIC grant implementation <sup>4</sup> .	24. TDAO DAC (and/or delegated service providers) conduct <b>quarterly service monitoring meetings</b> (for the duration of Service Improvement Plan implementation) with users and interest groups. Present implementation progress and expenditures (use of service charge and MAGIC grant), seek feedback and discuss challenges. Consider conducting ward level meetings where relevant (e.g. many complaints from a particular ward, or ward-based organisation of garbage management).	25. DAC works with CSOs to monitor the implementation of the Service Improvement Plan. Users are encouraged to directly provide feedback (using a specific <b>grievance redress mechanism</b> ) when things are not going according to the plan.
26. Quarterly revision and adjustment of the Service Improvement Plan based on user feedback (23 and 24).		27. Invite CSOs to independently evaluate citizen satisfaction with the service improvements and transparency and accountability to the public.

<sup>4</sup> The DAC is not legally mandated to provide oversight to implementation by the TDAO and its service providers, but MAGIC set up requires the DAC to provide oversight to the MAGIC grant. Experiences with DAC oversight of the grant will be reviewed to inform future TDOA/DAC functioning in practice and within the municipal legal framework.

WP1 - Internal DAO/DAC (In collaboration with DRI / LG expert)	Where DAO / DAC internal and public functions are combined	WP2 - Public DAO/DAC (In collaboration with LASDN / SA team guided by SA expert)
28. Develop an annual report of the physical and financial execution of the service improvement plan (including an assessment of local revenue mobilisation, and responding to the independent evaluation), including reporting on the MAGIC grant within the MAGIC project structure.	29. Conduct a public hearing to inform citizens about the results/absence of results of the implementation of the Service Improvement Plan and be accountable for them.	
30. To assess (with MAGIC support) the results (outputs and outcomes) of the grants, and to draw lessons about the democratic improvement of municipal services.		
<b>Follow-up by the Regional/State DAOs</b>		
31. Develop benchmarks, indicators regarding unit cost for main municipal services, and compare them with the services provided by other local governments.		